



Sheet \_ of 2

FORM PTO-1449		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTY. DOCKET NO. 36287-04401	SERIAL NO. 10/614,137
<b>INFORMATION DISCLOSURE CITATION</b>  (Use several sheets if necessary)		APPLICANT Friedman et al.			
		FILING DATE July 7, 2003		GROUP ART UNIT 3693	

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	6,269,346	7-2001	Cristofich et al			
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### OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Papers, Etc.)

			Applications of random walkers to Stock Pricing, <a href="http://www.math.mit.edu/stocker/18354.d/financial.pdf">www.math.mit.edu/stocker/18354.d/financial.pdf</a> ; Spring 2004
			Transferable Stock Options: Compensation for the 21st Century, David A. Seaman, Workspan, May 2004, 47(5) pages 64-71
			Transferable Stock Options: Microsoft's Program, Frederic W. Cook & Co., Inc. Oct. 31, 2003
			Transferable Stock Options (TSOs) and the Coming Revolution in Equity-Based Pay, Brian J. Hall, Journal of Applied Corporate Finance, Winter 2004 16(1)

EXAMINER	DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	2002/0172349	11-2002	Shea			
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		Statement 133 Implementation Issues, No. A17, FASB, May 1, 2003
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		Menachem Brenner, Rangarajan K. Sundaram and David Yermack, Alterning the terms of executive stock options, 2000, Journal of Financial and Economics, 57, pages 103-128

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